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PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

9

Application Number

10/643,787

Filing Date

August 19, 2003

First Named Inventor

Truckai, C.

Group Art Unit

3739

Examiner Name

Unassigned

Attorney Docket Number

021447-000420US

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address and Statement Under 37 CFR 3.73(b)

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

1) Return receipt postcard

2) Two (2) references

Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name

Townsend and Townsend and Crew LLP

Joel M. Harris

Reg. No. 44,743

Signature

Date

January 26, 2005

CERTIFICATE OF MAILING

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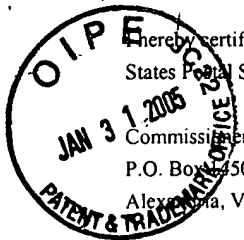
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PATENT
Attorney Docket No.: 021447-000420US
Client Reference No.: CTX-006

On 1/22/05

TOWNSEND and TOWNSEND and CREW LLP

By: Cl. Felt

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Csaba Truckai et al.

Application No.: 10/643,787

Filed: August 19, 2003

For: ELECTROSURGICAL WORKING
END FOR CONTROLLED ENERGY
DELIVERY

Examiner: Unassigned

Art Unit: 3739

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

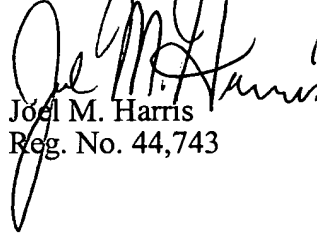
Sir:

The references cited on the attached PTO/SB/08A and PTO/SB/08B forms are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the non US patent references can be found in Application No. 10/032,867, filed October 22, 2001 (Attorney Docket No. 021447-000500US) with the exception of references GG and GS copies of which are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information, and no inference should be made that the information and references cited are, or are considered to be material to patentability because they are in this statement. No inference should be made that the information and references cited are prior art merely because they are in this statement.

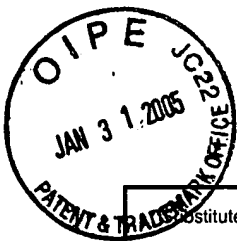
Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Joel M. Harris
Reg. No. 44,743

TOWNSEND and TOWNSEND and CREW LLP
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J7H:crf
60403149 v1



INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/643,787	
			Filing Date	August 19, 2003	
			First Named Inventor	Truckai, Csaba	
			Art Unit	3739	
Sheet	1	of	6	Examiner Name	Unassigned
				Attorney Docket Number	021447-000420US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
	AA	US-6,652,521	11-25-2003	SCHULZE	
	AB	US-6,632,193	10-14-2003	DAVISON ET AL.	
	AC	US-6,585,735	07-01-2003	FRAZIER ET AL.	
	AD	US-6,575,968	06-10-2003	EGGERS ET AL.	
	AE	US-6,554,829	04-29-2003	SCHULZE ET AL.	
	AF	US-6,533,784	03-18-2003	TRUCKAI ET AL.	
	AG	US-6,527,767	03-04-2003	WANG ET AL.	
	AH	US-6,511,480	01-28-2003	TETZLAFF ET AL.	
	AI	US-6,500,176	12-31-2002	TRUCKAI ET AL.	
	AJ	US-6,485,436	11-26-2002	TRUCKAI et al.	
	AK	US-6,468,275	10-22-2002	WAMPLER ET AL.	
	AL	US-6,464,704	10-15-2002	SCHMALTZ	
	AM	US-6,458,130	10-01-2002	FRAZIER ET AL.	
	AN	US-6,458,128	10-01-2002	SCHULZE	
	AO	US-6,458,127	10-01-2002	TRUCKAI et al.	
	AP	US-6,451,018	09-17-2002	LANDS ET AL.	
	AQ	US-6,409,725	06-25-2002	KHANDKAR ET AL.	
	AR	US-6,398,779	06-04-2002	BUYSSE ET AL.	
	AS	US-6,352,536	03-05-2002	BUYSSE ET AL.	
	AT	US-6,350,264	02-26-2002	HOOVEN	
	AU	US-6,334,861	01-01-2002	CHANDLER ET AL.	
	AV	US-6,328,703	12-11-2001	MURAKAMI	
	AW	US-6,298,550	10-09-2001	KIRWAN, JR.	
	AX	US-6,296,640	10-02-2001	WAMPLER ET AL.	
	AY	US-6,281,263	08-28-2001	EVANS et al.	
	AZ	US-6,277,117	08-21-2001	TETZLAFF ET AL.	
	BA	US-6,273,887	08-14-2001	YAMAUCHI ET AL.	
	BB	US-6,270,497	08-07-2001	SEKINO ET AL.	
	BC	US-6,193,709	02-27-2001	MIYAWAKI ET AL.	
	BD	US-6,190,386	02-20-2001	RYDELL	
	BE	US-6,187,003	02-13-2001	BUYSSE ET AL.	
	BF	US-6,179,837	01-30-2001	HOOVEN	
	BG	US-6,179,835	01-30-2001	PANESCU ET AL.	
	BH	US-6,179,834	01-30-2001	BUYSSE ET AL.	
	BI	US-6,176,857	01-23-2001	ASHLEY	
	BJ	US-6,174,309	01-16-2001	WRUBLEWSKI ET AL.	
	BK	US-6,162,220	12-19-2000	NEZHAT	
	BL	US-6,152,923	11-28-2000	RYAN	
	BM	US-6,143,207	11-07-2000	YAMADA et al.	
	BN	US-6,139,508	10-31-2000	SIMPSON ET AL.	
	BO	US-6,132,426	10-17-2000	KROLL	
	BP	US-6,113,598	09-05-2000	BAKER	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/643,787	
			Filing Date	August 19, 2003	
			First Named Inventor	Truckai, Csaba	
			Art Unit	3739	
Examiner Name	Unassigned				
Sheet	2	of	6	Attorney Docket Number	021447-000420US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
	BQ	US-6,107,699	08-22-2000	SWANSON	
	BR	US-6,106,558	08-22-2000	PICHA	
	BS	US-6,086,586	07-11-2000	HOOVEN	
	BT	US-6,074,389	06-13-2000	LEVINE ET AL.	
	BU	US-6,039,733	03-21-2000	BUYSSE ET AL.	
	BV	US-6,030,384	02-29-2000	NEZHAT	
	BW	US-6,019,758	02-01-2000	SLATER	
	BX	US-5,947,984	09-07-1999	WHIPPLE	
	BY	US-5,911,719	06-15-1999	EGGERS	
	BZ	US-5,891,142	04-06-1999	EGGERS ET AL.	
	CA	US-5,849,011	12-15-1998	JONES ET AL.	
	CB	US-5,836,874	11-17-1998	SWANSON ET AL.	
	CC	US-5,833,690	11-10-1998	YATES ET AL.	
	CD	US-5,807,392	09-15-1998	EGGERS	
	CE	US-5,800,449	09-01-1998	WALES	
	CF	US-5,797,938	08-25-1998	PARASCHAL ET AL.	
	CG	US-5,776,130	07-07-1998	BUYSSE ET AL.	
	CH	US-5,766,166	06-19-1998	HOOVEN	
	CI	US-5,755,717	05-26-1998	YATES ET AL.	
	CJ	US-5,735,848	04-07-1998	YATES ET AL.	
	CK	US-5,716,366	02-10-1998	YATES	
	CL	US-5,693,051	12-02-1997	SCHULZE ET AL.	
	CM	US-5,674,220	10-07-1997	FOX ET AL.	
	CN	US-5,624,452	04-29-1997	YATES	
	CO	US-5,611,798	03-18-1997	EGGERS	
	CP	US-5,603,875	02-18-1997	GILLER et al.	
	CQ	US-5,593,406	01-14-1997	EGGERS ET AL.	
	CR	US-5,573,535	11-12-1996	VIKLUND	
	CS	US-5,571,153	11-05-1996	WALLSTEN	
	CT	US-5,531,744	07-02-1996	NARDELLA ET AL.	
	CU	US-5,507,106	04-16-1996	FOX	
	CV	US-5,480,398	01-02-1996	EGGERS	
	CW	US-5,480,397	01-02-1996	EGGERS ET AL.	
	CX	US-5,458,598	10-17-1995	FEINBERG ET AL.	
	CY	US-5,451,224	09-19-1995	GOBLE ET AL.	
	CZ	US-5,445,638	08-29-1995	RYDELL ET AL.	
	DA	US-5,443,463	08-22-1995	STERN ET AL.	
	DB	US-5,417,687	05-23-1995	NARDELLA ET AL.	
	DC	US-5,403,312	04-04-1995	YATES ET AL.	
	DD	US-5,389,098	02-14-1995	TSURUTA ET AL.	
	DE	US-5,364,389	11-15-1994	ANDERSON	
	DF	US-5,360,428	11-01-1994	HUTCHINSON, JR.	

Examiner Signature	Date Considered
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			Application Number	10/643,787	
			Filing Date	August 19, 2003	
			First Named Inventor	Truckai, Csaba	
			Art Unit	3739	
Examiner Name	Unassigned				
Sheet	3	of	6	Attorney Docket Number	021447-000420US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
	DG	US-5,336,221	08-09-1994	ANDERSON	
	DH	US-5,324,289	06-28-1994	EGGERS	
	DI	US-5,308,311	05-03-1994	EGGERS ET AL.	
	DJ	US-5,306,280	04-26-1994	BREGEN ET AL.	
	DK	US-5,290,286	03-01-1994	PARINS	
	DL	US-5,269,780	12-14-1993	ROOS	
	DM	US-5,267,998	12-07-1993	HAGEN	
	DN	US-5,258,006	11-02-1993	RYDELL ET AL.	
	DO	US-5,207,691	05-04-1993	NARDELLA	
	DP	US-5,201,900	04-13-1993	NARDELLA	
	DQ	US-5,190,541	03-02-1993	ABELE ET AL.	
	DR	US-5,151,102	09-29-1992	KAMIYAMA ET AL.	
	DS	US-5,147,357	09-15-1992	ROSE ET AL.	
	DT	US-5,147,356	09-15-1992	BHATTA	
	DU	US-5,122,137	06-16-1992	LENNOX	
	DV	US-5,104,025	04-14-1992	MAIN ET AL.	
	DW	US-5,085,659	02-04-1992	RYDELL	
	DX	US-5,057,107	10-15-1991	PARINS ET AL.	
	DY	US-5,057,106	10-15-1991	KASEVICH ET AL.	
	DZ	US-5,009,656	04-23-1991	REIMELS	
	EA	US-4,985,030	01-15-1991	MELZER ET AL.	
	EB	US-4,969,885	11-13-1990	FARIN	
	EC	US-4,958,539	09-25-1990	STASZ ET AL.	
	ED	US-4,940,468	07-10-1990	PETILLO	
	EE	US-4,930,494	06-05-1990	TAKEHANA et al.	
	EF	US-4,887,612	12-19-1989	ESSER ET AL.	
	EG	US-4,850,353	07-25-1989	STASZ ET AL.	
	EH	US-4,848,337	07-18-1989	SHAW ET AL.	
	EI	US-4,785,807	11-22-1988	BLANCH	
	EJ	US-4,763,669	08-16-1988	JAEGER	
	EK	US-4,691,703	09-08-1987	AUTH ET AL.	
	EL	US-4,671,274	06-09-1987	SOROCHENKO	
	EM	US-4,655,216	04-07-1987	TISCHER	
	EN	US-4,633,874	01-06-1987	CHOW ET AL.	
	EO	US-4,608,981	09-02-1986	ROTHFUSS ET AL.	
	EP	US-4,590,934	05-27-1986	MALIS ET AL.	
	EQ	US-4,492,231	01-08-1985	AUTH	
	ER	US-4,375,218	03-01-1983	DIGERONIMO	
	ES	US-4,370,980	02-01-1983	LOTTICK	
	ET	US-4,353,371	10-12-1982	COSMAN	
	EU	US-4,271,838	06-09-1981	LASNER ET AL.	
	EV	US-4,232,676	11-11-1980	HERCZOG	

Examiner Signature		Date Considered	
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Examiner Name	Unassigned				
Sheet	4	of	6	Attorney Docket Number	021447-000420US

U.S. PATENT DOCUMENTS+					
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		Number Kind Code ² (if known)			
	EW	US-4,231,371	11-04-1980	LIPP	
	EX	US-4,219,025	08-26-1980	JOHNSON	
	EY	US-4,198,957	04-22-1980	CAGE ET AL.	
	EZ	US-4,092,986	06-06-1978	SCHNEIDERMAN	
	FA	US-3,826,263	07-30-1974	CAGE ET AL.	
	FB	US-3,768,482	10-30-1973	SHAW	
	FC	US-3,730,188	05-01-1973	ELLMAN	
	FD	US-3,685,518	08-22-1972	BEUERLE ET AL.	
	FE	US-3,651,811	03-28-1972	HILDEBRANDT ET AL.	
	FF	US-2,031,682	02-25-1936	WAPPLER ET AL.	
	FG	US-1,881,250	10-04-1932	TOMLINSON	
	FH	US-1,798,902	03-31-1931	RANEY	
	FI	US-1,586,645	06-01-1926	BIERMAN	
	FJ	US-659,409	10-09-1900	MOSHER	
	FK	US-2003/0144652 A1	07-31-2003	BAKER ET AL.	
	FL	US-2003/0139741 A1	07-24-2003	GOBLE ET AL.	
	FM	US-2003/0125727 A1	07-03-2003	TRUCKAI ET AL.	
	FN	US-2003/0114851 A1	06-19-2003	TRUCKAI ET AL.	
	FO	US-2003/0078578 A1	04-24-2003	TRUCKAI ET AL.	
	FP	US-2003/0078577 A1	04-24-2003	TRUCKAI ET AL.	
	FQ	US-2003/0078573 A1	04-24-2003	TRUCKAI ET AL.	
	FR	US-2003/0069579 A1	04-10-2003	TRUCKAI ET AL.	
	FS	US-2003/0055417 A1	03-20-2003	TRUCKAI ET AL.	
	FT	US-2003/0050635 A1	03-13-2003	TRUCKAI ET AL.	
	FU	US-2003/0018327 A1	01-23-2003	TRUCKAI ET AL.	
	FV	US-2002/0177848 A1	11-28-2002	TRUCKAI ET AL.	
	FW	US-2002/0169392 A1	11-14-2002	TRUCKAI ET AL.	
	FX	US-2002/0120266 A1	08-29-2002	TRUCKAI ET AL.	
	FY	US-2002/0115997 A1	08-22-2002	TRUCKAI ET AL.	
	FZ	US-2002/0052599 A1	05-02-2002	GOBLE	

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Sheet	5	of	6	Attorney Docket Number	021447-000420US

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	GA	EP	517 244	B1	03-20-1996			<input type="checkbox"/>
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	GC	EP	341 446	A2	04-14-1989			abst. only
	GD	WO	93/08754	A1	05-13-1993			<input type="checkbox"/>
	GE	WO	94/24951	A1	11-10-1994			<input type="checkbox"/>
	GF	WO	94/24949	A1	11-10-1994			<input type="checkbox"/>
	GG	WO	00/09190	A1	02-24-2000			<input type="checkbox"/>
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	GI	SU	342617					
	GJ	FR	2536924	A1	06-01-1984			abst. only
	GK	FR	2647683	A1	12-07-1990			abst. only
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	GN	GB	2161082	A	01-08-1986			<input type="checkbox"/>
	GO	GB	2133290	A	07-25-1984			<input type="checkbox"/>

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	10/643,787
				Filing Date	August 19, 2003
				First Named Inventor	Truckai, Csaba
				Art Unit	3739
				Examiner Name	Unassigned
Sheet	6	of	6	Attorney Docket Number	021447-000420US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	GP	CORSON, S.L., "Two new laparoscopic instruments: Bipolar sterilizing forceps and uterine manipulator," <u>Medical Instrumentation</u> , 11(1):7-8 (1977).	
	GQ	BURTON, J.D.K., "New Inventions," <u>The Lancet</u> , pages 650-651 (1959).	
	GR	NARDELLA, P.C., "Radio Frequency Energy and Impedance Feedback," <u>Proc. SPIE, Catheter-Based Sensing and Imaging Technology</u> , 1068: 42-48 (1989).	
	GS	PACIFIC SILK, "Designing with Silicon Synthetic Rubber" brochure, downloaded on Nov. 1, 2004, <<http://www.pacificsilk.com>>, 12 pages total.	
	GT	VALLFORS et al., "Automatically controlled bipolar electrocoagulation - 'COA-COMP'," <u>Neurosurg Rev.</u> , 187-190 (1984).	

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